What does the Dean’s Office look for in approving Travel and Entertainment expenses?

Barbara Gilkes
Asst Dean
College of Letters & Science

Apr 2016
• What goes to Dean’s office
• What format should it take
• What happens when you send it
• What is the Dean’s office looking for when providing approval
• Specifics on forms
Distinctions:

**Additional Approval**
Within policy, but policy calls for an additional, higher level signature

**Exceptional Approval**
Outside of policy (contrary to policy); convince someone that there was sufficiently good reason that they should support it.
How do you know?

• Check policy
• Ask

Bus 79- Expenditures for Business Meetings, Entertainment
G-28 – Travel Regulations Policy
G-43- Memberships
G-42- Gifts to Non-Employees on Behalf of the University
G-41- Employee Non-Cash Awards (retirements coming up, make sure you know the policy…)

What can the Dept Chair approve?

a) See college website
b) Travel, entertainment, reimbursement for dept faculty or staff that does not require additional approval or exceptional approval
c) Honorarium up to $2,000
d) Memberships up to $1,000 paid on research funds
When do I send something to the Dean’s Office?

*only referring to Travel, Entertainment, Honoraria, Memberships*
When do I send something to the Dean’s Office?*

I. Any expense reimbursed to or benefiting the Department Chair

II. Any expenditure requiring an additional approval (e.g., alcohol, spouse or partner, morale-building, honoraria >$2,000)

III. Any Membership charged to state funds

IV. Any expenditure that requires exceptional approval (e.g., going over the allowable per person limit, a third-party expenditure)
How do I send something to the Dean’s Office?

I. Reimbursement to the Dept Chair
II. Any expenditure requiring an additional approval
III. Membership charged over $1,000 and/or on state funds

Just send the Form
(Form 5 EN, Misc, Membership, TEV…)

Put these in an envelope addressed to Barbara Gilkes, L&S, MC=2080
IV. Any expenditure that requires exceptional approval

Memo (blue memo)
TO EVC David Marshall
VIA Dean
FROM Department Chair

But mail or deliver it to Barbara Gilkes.
REQUESTS FOR APPROVAL OF EXCEPTIONS

In the memo—

Document the specific request (include the amount), make a strong justification, what business purpose was served, indicate why someone should agree to approve [put their signature to] this expenditure that is outside university policy. Indicate the fund source to be used. If possible & relevant, indicate why the expenditure went against policy and what corrective steps are being taken to prevent future such occurrences. *Make it easier to approve.*
Important Points re: EXCEPTIONS

- Approval of exceptions is not automatic
- Just because funds were expended doesn’t mean they will get reimbursed
- Repeat occurrences … need even better stories
- The EVC’s office won’t consider a request that hasn’t been endorsed by the Dean
- If there are other ways (within policy) to get the same result, that decreases the likelihood of approval

All this leads to . . .
Better to ask in advance!
and with sufficient lead time to allow for alterations,
if needed

PRIOR APPROVAL
ASSURES THE HOST OF
REIMBURSEMENT
What happens when I send something to the Dean’s Office?

KEEP A FULL COPY before you send it over.

After it has received appropriate signatures, we will scan the signature page, walk the original packet to Accounting, and email the Department a copy of the signature page (in that order).

NB: we send the scan to the person listed as PREPARER on the form.
What happens when I send something to the Dean’s Office?

That depends …

On whether the form is complete, tells the full story, is accurately filled out, properly signed, etc.
“Hey, Barbara, Travel Accounting said this was okay if I got control point sign-off (whatever that is). So, can you just sign this and send it over to Accounting? We need payment right away . . . .”
Well I’m never going to remember all this. Where can I look for resources, reminders, tips, etc.?

_________________________________________

UC policies
http://policy.ucop.edu/advanced-search.php?action=search

Travel Accounting website
http://www.bfs.ucsb.edu/

College website – resources for depts
Some notes on alcohol

• Never on state funds

• Include the TAX when you separate out alcohol

• College Policy -- alcohol will not be reimbursed for grad student recruitment!!

• Alcohol is not an exceptional expense; it requires additional approval

• Not everyone drinks . . . .
Problem Areas

What story does it tell?
Payment Request—Expenditures for Business Meetings, Entertainment, and Other Occasions (BBF SUB-79)

PAYEE: (Last Name, First, M.I.), Remittance Address
Lindholm, Sara
4001 HSSB
University of California
Santa Barbara, CA 93106

Special Handling: [ ] Call for pick-up
[ ] Wire/Craft Information form attached
[ ] Special Handling Request form attached

AMOUNT 41.22
Less Advance
NET 41.22

Vendor Invoice #, if applicable: —
Invoice date, if applicable: —

Loc Account Fund S Org Code Cost Center SPKR CLECTU AMOUNT TX
B 12345 18082 3 7250 — 41.22 —

Type of expense: [ ] Breakfast [ ] Lunch [ ] Dinner [ ] Light refreshments [ ] Other

Number of Participants: 24

LOCATION: Business related nature of the occasion or purpose of the event:
Reception following Guest Lecture by Rebecca Fleming

Cost per person: 1.72

Justification of any exceptional expenditures, including exceeding Appendix A limits:

[ ] Local exceptions per attached documentation
[ ] Unallowable expenditures are not reimbursable.

I sign as the [ ] Approver of this payment, acting within the Approving Authority’s attached prior authorization of this event.

OT, I sign as the [ ] Approving Authority, an individual who has been designated within authority to approve expenditures for meals, light refreshments, and other amenities described within [BBF SUB-79].

I certify that these entertainment/hospitality expenses were incurred for an official University business purpose and they comply with University policy and fund source allowability.

Signature
Barbara Gilkes
Asst. Dean

[ ] Unallowable expenditures are not reimbursable.

[ ] See Appendix B, Approval of Expenditures, page 23 of BBF SUB-79.

OFFICIAL HOST: I was present and certify these entertainment/hospitality expenses were incurred for an official University business purpose.

Date

ADDITIONAL APPROVAL BY HIGH LEVEL DESIGNEE—Chancellor or his designee. State funds cannot be used.

Signature
Date

ADDITIONAL APPROVAL BY HIGH LEVEL DESIGNEE—Chancellor or his designee. State funds cannot be used.

Signature
Date

Submit ORIGINAL form to Accounting—Attach original receipts. For vendor enclosures such as contracts, agreements or orders, enclose both the original and a file copy for image archiving.

RETENTION: Accounting, 5 years PLUS Federal contract requirements.
TRADER JOE'S
5170 Calle Real
Goleta, CA 93117
Store #110 - (805) 652-2234

OPEN 8:00AM TO 8:00PM DAILY

DARK COVERED BAKLAVA IN SEA 3.99
DARK SPARKLING MINERAL SAN PEL 1.49 T
30V 0.10 T
DARK SPARKLING MINERAL SAN PEL 1.49 T
20V 0.10 T
DARK SPARKLING MINERAL SAN PEL 1.49 T
20V 0.10 T
L'J'S CRACKER ASSORTMENT 3.49
BAKERS ITALIAN STYLE ROSEMARY 2.49
JST ASIAGO ROSEMARY AND OILY 5.03
JST BEE TRIPLE OILY W FILD M 4.49
RED SEEDLESS GRAPE 3.98
TURKISH APRICOTS 4.49
H L D'N T FANCY MIXED NUTS 7.29

SUBTOTAL $49.84
STATE TAX 4.68
TOTAL $54.52
CASH $54.22

4/15/2018 03:20:27

RICK # B010
ACCT # 000000000005031

CUSTOMER COPY

REbecca Flemming
H. Donovan
4-15-2018 06:20AM 0110 04 1104 3035

THANK YOU FOR SHOPPING AT TRADER JOE'S
www.traderjoes.com
One-seed, two-seed, three-seed?
Reassessing ancient theories of generation

Rebecca Flemming
Faculty of Classics,
University of Cambridge

Medical and philosophical theories of generation from the classical world are often classified according to whether the female as well as the male produces 'seed', the substance which does the most important work in procreation. Aristotle is usually acknowledged as the most influential proponent of the 'one-seed model', while Galen championed the 'two-seed' case, and the debate between them continues, continues to matter, for centuries. At stake here is not just theoretical efficiency — how well the full complexities of prenatal resemblance are accounted for by the contending notions, for example — but also, it has been suggested, politics and patriarchy. Two seeds are better, more egalitarian, than one, the female role in generation is more positively valued in this model. This lecture will argue that not only this characterization, but the division itself, is misleading. Another way must be found to understand the key concepts involved in these foundational ancient debates about human procreation.
Payment Request—Expenditures for Business Meetings, Entertainment, and Other Occasions

PAYEE (Last Name, First, MI), Remittance Address
Lindheim, Sara
4001 HSSB
University of California
Santa Barbara, CA 93106

Special Handling:
☐ Call for pick-up
Ext: ______________________
☐ Wire/Draft Information form attached
☐ Special Handling Request form attached

AMOUNT 41.22
Less Advance
NET 41.22

Subject to Use Tax $
DO NOT calculate or distribute the actual tax amount... Location where used if not main campus

Vendor Invoice #, if applicable
Invoive date, if applicable

Loc Account Fund S Obj Code Cost Ctr Cost Type Project AMOUNT TX
8 12345 18082 3 7250 SPKR CLECTU 41.22

Do not use this form to request Advance DESCRIPTION, business purpose ↓ ▲ Attach Multiple Distribution Coding Block if needed

Type of expense: ☐ Breakfast ☐ Lunch ☐ Dinner ☑ Light refreshments ☐ Other

Number of Participants: 24 List names, titles, occupations or group affiliations establishing business-related relationships:
Guest Speaker Rebecca Flemming, Classics Faculty and Classics Graduate Students
LAFSO
(Location-Account-Fund-Sub-Object Code)

Fund Source matters

Ojo -- Object Code
Guest Speaker Rebecca Flemming, Classics Faculty and Classics Graduate Students

Date and location of the event: 04/15/2016  HSSB 4080

Business related nature of the occasion or purpose of the event: Reception following Guest Lecture by Rebecca Flemming

Cost per person: 1.72

Justification of any exceptional expenditures, including exceeding Appendix A limits:

☐ Local exceptions per attached documentation

► Exceeding 200% of limits requires Chancellor approval.

I sign as the ☐ Approver of this payment, acting within the Approving Authority’s attached prior authorization of this event.

OR, I sign as the ☑ Approving Authority, an individual who has been delegated written authority to approve expenditures for meals, light refreshments, and other amenities described within BFB BUS-70.

I certify that these entertainment/hospitality expenses were incurred for an official University business purpose and they comply with University policy and fund source allowability.

Signature
Barbara Gilkes  Asst. Dean

Print name and title

OFFICIAL HOST: I was present and certify these entertainment/hospitality expenses were incurred for an official University business purpose.

Signature

[First Lastname, Chair, Dept]

Print name and title

ADDITIONAL APPROVAL BY HIGH LEVEL DESIGNEE—Chancellor or his designee. State funds cannot be used.

Signature

Print name and title

Submit ORIGINAL form to Accounting — Attach original receipts. For vendor endorses such as contracts, agreements or orders, enclose both the original and a file copy for image archiving.

RETENTION: Accounting: 5 years PLUS Federal contract requirements.
SAMPLE – Problematic Prior Approval Request

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**Prior & Exceptional Approval Worksheet for Entertainment**

*USE IF YOUR CONTROL POINT REQUIRES PRIOR APPROVAL OF ENTERTAINMENT EXPENSES. USE TO DOCUMENT BUS-79 EXCEPTIONAL EXPENSES AND ANY CONTROL POINT ENFORCED RESTRICTIONS. ATTACH TO REQUEST FOR PAYMENT (FORM US-5E).*

**TO:** Barbara Gilkes  
Chair or Dean  
Department or College

**EVENT:** Drinks and hors d’oeuvres  
Type, nature, purpose and date(s) (attach participant list with affiliations and other backup documentation)

<table>
<thead>
<tr>
<th>Name of host</th>
<th>Dept of XXX</th>
<th>Number persons</th>
<th>Total amount</th>
</tr>
</thead>
</table>

This request for approval includes the following exceptional entertainment expenses:

- Expenses that exceed the per-person maximum rates (BUS 79, Appendix A)  
- Entertainment of the spouse (or equivalent) of a host or a guest (BUS-79)  
- Tickets to entertainment or sporting events (BUS-79)  
- Faculty or staff picnics or holiday parties (BUS-79)  
- Purchase of alcohol (Control Point)  
- Request retroactive approval (Control Point)  
- Expense in excess of limit delegated to department chairperson (Control Point)  
- Other exceptions:

<table>
<thead>
<tr>
<th>Name of host</th>
<th>Dept of XXX</th>
<th>Number persons</th>
<th>Total amount</th>
</tr>
</thead>
</table>

**legitimate budget name**  
123456-199000  
$1,000.00

**Budget name for regular expenses**  
Account  
Total regular expense

**legitimate budget name2**  
123456-19941  
$600.00

**Exceptional expenses (BUS-79 and alcohol)**  
Account  
Total exceptional exp.

**JUSTIFICATION** for exceptional entertainment expense: for example, why higher costs were unavoidable and necessary to achieve a University business purpose:

the dept chair thought it would be a good idea; it would help to get people talking again

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Prepared by **First Lastname**  
Extension:  
Department: XX Dept  
Signatures: [valid signature]

**Department Chairperson**  
Principal Investigator, if required  
Date

*For expenditures of extramural funds, signature of the Principal Investigator (or designee) is required that 1) the expenditure is consistent with the terms of the contract and 2) sufficient funds are available.

**CONTROL POINT RESPONSE:**  
( ) APPROVED  
( ) NOT APPROVED

Date

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1 Exceptional expenses under BUS 79 cannot be paid with State or Federal funds.
2 Rates include taxes and service. Rates do not include the rental of meeting or conference facilities, which may be charged as an additional expense.
3 The following type events are disallowed under BUS-79 and cannot be approved as exceptional entertainment expense: employee birthdays, weddings, anniversaries, farewell gatherings (other than retirement), Secretary’s Day, etc.
4 Alcohol, flowers and tobacco can only be charged to non-state and non-federal fund sources that specifically allow such charges, subject to exceptional approval where required by Control Point.
SAMPLE – Prior Approval Request that is easy to approve
Wrap up

Questions
Topics I missed
Comments

Do we have any time left?